

# FISH & RICHARDSON P.C.

225 Franklin Street  
Boston, Massachusetts  
02110-2804

Telephone  
617 542-5070

Facsimile  
617 542-8906

Web Site  
www.fr.com

July 16, 1999

Attorney Docket No.: 10246/004001

## Box Patent Application

Assistant Commissioner for Patents  
Washington, DC 20231

Presented for filing is a new original patent application of:

Applicant: ANTHONY D. ESTES  
Title: DIRECT RESPONSE E-MAIL

Enclosed are the following papers, including those required to receive a filing date under 37 CFR §1.53(b):

	<u>Pages</u>
Specification	12
Claims	4
Abstract	1
Declaration	1 (unsigned)
Drawing(s)	6

### Enclosures:

- Small entity statement (unsigned). This application is entitled to small entity status.
- Postcard.

Basic filing fee	380.00
Total claims in excess of 20 times \$9.00	0.00
Independent claims in excess of 3 times \$39.00	234.00
Fee for multiple dependent claims	0.00
Total filing fee:	\$ 614.00

"EXPRESS MAIL" Mailing Label Number

Date of Deposit

I hereby certify under 37 CFR 1.10 that this correspondence is being deposited with the United States Postal Service as "Express Mail Post Office To Addressee" with sufficient postage on the date indicated above and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Joanne D. Boyle

FISH & RICHARDSON P.C.

July 16, 1999

Page 2

A check for the filing fee is enclosed. Please apply any other required fees or any credits to deposit account 06-1050, referencing the attorney docket number shown above.

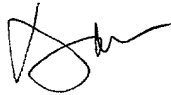
If this application is found to be incomplete, or if a telephone conference would otherwise be helpful, please call the undersigned at 617/542-5070.

Kindly acknowledge receipt of this application by returning the enclosed postcard.

Please send all correspondence to:

David L. Feigenbaum, Esq.  
Fish & Richardson P.C.  
225 Franklin Street  
Boston, MA 02110-2804

Respectfully submitted,



David L. Feigenbaum  
Reg. No. 30,378  
Enclosures

Applicant or Patentee: Anthony D. Estes et al.  
 Serial or Patent No.:  
 Filed or Issued: July 16, 1999  
 For: DIRECT RESPONSE E-MAIL

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS  
 (37 CFR 1.9(f) and 1.27(c)) - SMALL BUSINESS CONCERN

I hereby declare that I am

- ☐ the owner of the small business concern identified below:  
☒ an official of the small business concern empowered to act on behalf of the concern identified below:

Name of Small Business Concern: E-Dialog, Inc.

Address of Small Business Concern: 1646 Massachusetts Avenue, Lexington, MA 02420

I hereby declare that the above identified small business concern qualifies as a small business concern as defined in 13 CFR 121.12, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees to the United States Patent and Trademark Office, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention, entitled DIRECT RESPONSE E-MAIL by inventor(s) Anthony D. Estes described in

- ☒ the specification filed herewith.  
☐ application serial no. , filed .  
☐ patent no. , issued .

If the rights held by the above identified small business concern are not exclusive, each individual, concern or organization having rights to the invention is listed below\* and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d), or a nonprofit organization under 37 CFR 1.9(e). NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

Full Name: \_\_\_\_\_

Address: \_\_\_\_\_

☐ INDIVIDUAL    ☐ SMALL BUSINESS CONCERN    ☐ NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status when any new rule 53 application is filed or prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent on which this verified statement is directed.

Name: William Herp

Title: President

Address: 1646 Massachusetts Avenue, Lexington, MA 02420

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

**APPLICATION**  
**FOR**  
**UNITED STATES LETTERS PATENT**

**TITLE:** DIRECT RESPONSE E-MAIL

**APPLICANT:** ANTHONY D. ESTES

"EXPRESS MAIL" Mailing Label Number EL224672908US

Date of Deposit 7.16.99

I hereby certify under 37 CFR 1.10 that this correspondence is being deposited with the United States Postal Service as "Express Mail Post Office To Addressee" with sufficient postage on the date indicated above and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Joanne D. Boyle

DIRECT RESPONSE E-MAIL

Field of invention

5           This invention relates to direct response e-mail.

Background of the Invention

          In direct response e-mail, a vendor, for example,  
can sell a product to a customer by sending an e-mail  
message to the customer that describes the product and its  
10   price. The customer can order the product by returning an  
e-mail (sometimes called a direct response e-mail) that  
gives appropriate order information. The vendor can confirm  
the order by a return e-mail. The order information  
returned by the customer can sometimes be determined  
15   automatically using software that analyses the customer's  
reply e-mail.

Summary of the Invention

          In general, in one aspect of the invention, an e-  
mail message is analyzed to derive response information  
20   concerning a commercial transaction. Based on the derived  
information, commercial transaction data are automatically  
generated in a format that is usable to automatically  
complete the commercial transaction.

          In general, in another aspect of the invention, an  
25   e-mail message is sent to a customer offering a product or  
service for sale. The e-mail message includes locations for  
response by the customer to indicate his intention to order  
the product or service. The customer returns an e-mail  
message that includes the response. Based on the received  
30   e-mail, order information is automatically generated in a  
format usable automatically by an order fulfillment system  
to cause the order to be filled.

          In general, another aspect of the invention includes  
automatically identifying response information which

requires resolution of an issue with the source of the e-mail message and automatically managing an e-mail dialog with the source to resolve the issue.

In general, in another aspect, the invention  
5 features automatically sorting e-mail messages, based on response information contained in the messages, into e-mail messages that can be processed automatically to generate commercial transactions, e-mail messages in which the response information is inadequate to permit generation of  
10 commercial transactions, and e-mail messages that may be subjected to exception handling to yield information that is sufficient to generate commercial transactions.

In general, in another aspect, the invention  
15 features automatically generating a confirmatory e-mail message to the source of the e-mail message confirming that a commercial transaction has been or will be completed.

In general, in another aspect, the invention  
20 features receiving inbound e-mail messages that result from corresponding outbound e-mail messages associated with a marketing program, the inbound messages containing response information, each of the outbound messages being associated with a distinct piece of the marketing program. The response information in each of the inbound messages is automatically associated with the corresponding distinct  
25 piece of the marketing program.

In general, in another aspect, the invention  
features automatically merging response information with corresponding information in a database for use in completing transactions.

30 In general, in another aspect, the invention features identifying inbound e-mail messages that cannot be processed automatically to generate commercial transactions,

and using the database information to assist in exception handling of the identified inbound messages.

Other advantages and features will become apparent from the following description and from the claims.

5                    Brief Description of the Drawing

Figures 1A through 1C and 2A through 2B show e-mail messages.

Figure 3 is a block diagram of a direct response e-mail system.

10                    Description of the Preferred Embodiments  
Outbound e-mail messages

The two e-mail messages shown in figures 1A through 1C and 2A through 2B are examples of outbound messages associated with commercial transactions.

15                    The example message 10 shown in figure 1 offers Harvard Business Review products. Message 10 includes basic copy 12 that is similar to basic direct marketing copy of the kind that is commonly used in e-mail marketing. Message 10 also contains a section 14 giving instructions on how to  
20                    order the products.

Inbound e-mail messages

To take advantage of the offer shown in figure 1, the recipient creates a reply e-mail message (the direct response message) and types the letters of the items that he  
25                    wants to order in the first line of the body of the message. In other examples, the letters could be typed in the subject line or the last line of the body of the message. The user is also asked to correct and complete shipping and e-mail address information that has been merged into the outbound  
30                    e-mail message in a section 16. In section 16, each of the entries is bounded by brackets. Another section could

contain merged billing information, not shown. The person who replies to the e-mail (the customer) is meant to include the corrections or additions within the indicated brackets.

By allowing the recipient to take advantage of the offer simply by replying to the e-mail, rather than requiring the recipient to place an order by linking to a related web-site or to print the e-mail message and FAX it back, or to call an 800 number, a much higher return rate can be achieved. For conventional outbound e-mail messages that require the recipient to click on an embedded URL to go to a web site, the returns may be on the order of several hundred percent on investment (the fee charged for delivering the outbound messages). By enabling the recipient to provide direct response e-mail messages as in figure 1, the return on investment can be as high as several thousand percent.

Figures 2A and 2B illustrate a similar outbound e-mail message in which there is no choice of products but only a single offer to be accepted or rejected. To take advantage of the offer, the recipient types "yes" in the subject line. In figure 2B, a shipping block 18 of the kind mentioned above is shown. (In this case, the shipping block contains no information because the shipping address is the same as the billing address.)

One reason for including differential billing and shipping blocks is to acquire information in the return e-mail message that is similar to information captured in orders placed on a related web site. In a system in which web-site orders generate fields that can be fed directly to an automated order fulfillment process, it is useful to make the e-mail message information field-wise consistent to permit the information to be delivered automatically to the same order fulfillment process.



### Exception processing

Processing the inbound e-mails (the ones with responses concerning commercial transactions from the recipients of the outbound e-mails) may require custom  
5 interaction with the recipients. For example, the wording of the outbound messages may be confusing to the recipients.

As shown in figure 3, the system 40 enables the transactional e-mail message processor 42 to determine when a dialog with the recipient 44 is needed and then assists a  
10 human service representative 46 to conduct an effective dialog 48. The dialog can be conducted on behalf of the vendor 50 but without involving the vendor. Alternatively, the vendor's fulfillment process 52 can be notified electronically 54 of interaction that may be required.

15 Easing the processing of responses that include customer orders is important because the orders typically come back quickly, e.g., within 36-48 hours, and in large volume. The ability to deal with questions that arise as a result of the contact from a customer service point of view keeps the  
20 vendor's customer service organization from being overwhelmed by the responses that come back.

The ability to process exceptions without involving the customer service organization of the vendor is based partly on knowing how the outbound e-mail messages were  
25 constructed. As a simple example, a recipient may ask an unnecessary question that could have been answered by reading the outbound e-mail message. The e-mail message processor can pull out the relevant portion of the message and send it back to the recipient to answer the question.

### ProcOrder Process

The inbound e-mail messages 60 are batch processed by a script called ProcOrder 62. ProcOrder parses the elements of the inbound e-mail messages in accordance with the original set up and instructions of the outbound e-mail messages 64. ProcOrder determines if all of the items that are required for an order to be completely processed automatically appear in the inbound e-mail message. For example, the script would look for the ordering token, such as the word "yes" or a series of letters depending on whether it is a single or multiple offer. The script would also look for footer information in the e-mail message, including a code that identifies the given campaign and the given offer, as seen in block 66 of figure 2B. In that example, there are four components in the footer, but only two are represented because the other two are not required in this instance. The first element is a customer identifier 68, e.g. 861270. Then there is a space 70 between two pipes that would contain the list identifier if there were one. There may be multiple recipient lists for a given marketing campaign. In the example, there is only one list, and there is no list identifier. A list number 243 might refer to a list of people who made a purchase at the vendor's web site or who subscribed at the web-site for a listserv.

The third footer item could be a source of awareness code 72, e.g., 3275, which identifies a particular marketing campaign. For example, in the case of figure 2, the code could refer to a Benchmarking Three-part Video Series offer.

The last item in the footer, located between the final pipe and the first right bracket would be a flight identification code 74. A given campaign could have multiple flights of e-mail messages.

After looking for the footer information, the ProcOrder parser looks for fields in the billing and shipping address blocks that are required to complete the order. What is required may vary with the type of campaign  
5 but typically the minimum requirements are a name and a physical address. If the information is not completely available in the response e-mail message, the script checks to see if it is available in the database 76. If not available in either place, the script generates an exception  
10 entry for an exception list. The exception list is provided to a service representative 46 who can then act on it (without involving the vendor's customer service organization), e.g., by sending back an e-mail message asking for the shipping address.

15 If all required information is available, the script generates a fully fielded valid order in a format required by the fulfillment system of the vendor and adds it to a batch of valid orders 78 which are sent electronically to the fulfillment process.

20 Confirmation e-mail message

As a result of running the ProcOrder script, an e-mail message 80 is returned to each customer either to confirm an order or to request more information. In the latter case, a dialog ensues and is managed by software and  
25 through an exception handling service as explained earlier. For example, the customer's response could say something like "sure, send"; or "send it and I'll take a look." Shortly thereafter the customer would receive a confirmation  
30 "Thank you for your order; you can expect the CD-ROM in about seven business days. Please let us know if there is anything else we can do to help simply by replying to this e-mail."

### One-click ordering

Another feature of the e-mail dialog with a customer involves simplifying and optimizing the presentation of content. In the examples of figures 1 and 2, the

5 information is presented in a simple text format. It is useful also to provide in-line HTML code in the outbound e-mail message in a manner similar to the one-click ordering that Amazon.com offers in a web-site context. In one-click ordering, the customer sets up an account by providing  
10 credit card and shipping information. On subsequent visits to the web site, the customer can pick a product with one click, place an order, and have it shipped. A similar technique could be adapted to e-mail message interchange by embedding one-click ordering into e-mail.

15 An advantage of in-line HTML code is the opportunity for a much higher response rate because of the higher graphical contact and higher level of engagement normally achieved by a graphical message.

### Template

20 The outbound e-mail messages are set up in a standard format using templates 90. The templates enable either a single-offer message or a multiple-offer message. Other templates are also possible, including one that embeds in-line HTML into the message as mentioned above, either for  
25 the single-offer or multiple-offer cases.

In addition, a set-up tool 92 permits the parameters of a given campaign to be defined, including the source of awareness code, the flight identification code, the campaign identification code, and similar information. The set-up  
30 tool also permits defining the tokens that are to be used in a given campaign (for example, the letters assigned to different products being offered). The set-up tool also allows a definition of the required fields that must appear

in a given campaign to enable automated generation of orders to an existing fulfillment system.

The set-up tool also provides a user interface that enables a vendor to help in entering the set-up information.

5       The result of applying the tool to the templates is a set of outbound message forms 94 that are ready for use.

#### Reporting tool

After the template is set up and the system is ready to launch a flight, address 108 and other information 110. 112 stored in the target list of customers is merged with the message forms, and the e-mail messages are automatically generated and sent by an outbound e-mail delivery engine 96. Customers then begin to respond. The ProcOrder script generates automatic orders to the fulfillment system and exception information for additional processing.

15       A reporting tool 104 aggregates information about the responses for a given campaign according to source of awareness code and flight. The information is made available on-line to the vendor and can be used for a variety of marketing purposes. The information could be generated as an Excel file attached to an e-mail, or as a paper-based report, or as an electronic file that is transferred on a batch basis.

#### Gathering additional information from database

25       There may be an intermediate step between the parsing engine's (ProcOrder) extraction of information from an e-mail message and the generation of the valid order. The intermediate step could be a querying process 112 to gather additional information from an existing database. 30       The additional information may not have been included in the outbound e-mail messages but may be needed to generate a valid order. For example, product codes 112 may be stored in the database but not included in the outbound e-mail

message. The letters entered by the customer can be mapped to the actual product codes by reference to the tables of the database based upon the source of awareness code.

5 The resulting valid order is a fully-fielded record that has the fields required by the client's order fulfillment system to process an order.

#### Exception treatment

10 Exception handling can be treated in different ways depending on the circumstances. For example, an exception might occur when a customer responds from an e-mail client that does not quote the original text of the outbound e-mail message. The inbound e-mail message then has the customer's e-mail address, a subject line that says "yes", and the original subject line from the campaign, but does not have  
15 the required information for the shipping address or the footer information. ProcOrder would kick that out as an exception, but the exception handling system would allow a response management representative 46, based on the e-mail address, to confirm, from the database 76, that all of the  
20 required information is available. Use of the subject line allows the system to tie back to the appropriate campaign and to figure out who is ordering and what he is ordering. A valid order can be created without further interaction with the customer other than to send him a confirmation that  
25 the system has been able to enter a valid order on his behalf.

The system thus recognizes that it is not likely to be possible to automate every interaction with the customer, but it may be possible to complete a dialog with essentially  
30 all of the customers from whom inbound e-mail messages are received by automatically identifying messages that will require custom human handling and providing information and

tools that enable the human handlers to complete the exception transactions in an efficient manner.

#### Non-order response processing

Not every inbound e-mail message is an order. Non-order messages include undeliverable bounced messages to ad hoc customer service responses. Non-order inbound e-mail messages must be identified by the parsing engine.

Undeliverable e-mail messages 114 are automatically separated from the inbound e-mail stream and stored for offline handling by a human response handling professional, who operates a script on the files of undeliverable messages. The script classifies them as "soft" and "hard," parses e-mail addresses and footer data from the messages, matches the parsed records to the database, and flags appropriate records as "undeliverable".

Other non-order messages also are handled manually as explained earlier.

#### Vendor creation of e-mail campaigns.

A campaign creation tool 126 is provided to a vendor to enable simple entry of all information needed to create an e-mail campaign, including all the parameters, the text of the messages, and the tables of data needed in the database. The vendor delivers the campaign electronically to the transactional e-mail processor which then delivers the e-mail messages, receive the responses, processes all exceptions, and returns to the fulfillment system the vendor orders in a proper format.

A web-based vendor interface 128 enables on-line viewing by the vendor of the status of all campaigns, including the state of those that are in development and the results of those that are "live". The information is hosted by the transactional e-mail processor in part based on the

database 76. The interface also gives the vendor a mechanism to check text and other content into the database.

Alternatively, instead of automatically permitting the vendor to fully create a finished campaign, the vendor  
5 may be enabled to download and check into the database a proposed campaign. Then an account executive of the e-mail handler process would review it and work with the vendor to complete it before it is finally queued for distribution.

Appendices A, B, and C contain more detailed  
10 descriptions of aspects of implementations of the invention. Appendix D contains source code written of an example of the ProcOrder process.

Other implementations are within the scope of the following claims.

15 What is claimed is:



### Claims

1           1.    A machine-based method comprising  
2           analyzing an e-mail message to derive response  
3           information concerning a commercial transaction, and  
4           based on the derived information, and  
5           automatically generating commercial transaction data  
6           in a format that is usable to automatically complete the  
7           commercial transaction.

1           2.    The method of claim 1 in which the commercial  
2           transaction comprises an order for a product or service.

1           3.    The method of claim 1 in which the e-mail  
2           message comprises at least part of an e-mail sent to a  
3           customer and responses of the customer to the e-mail.

1           4.    The method of claim 1 in which the automatic  
2           completion of the commercial transaction comprises order  
3           fulfillment.

1           5.    A machine-based method comprising  
2           sending an e-mail message to a customer offering a  
3           product or service for sale, the e-mail message comprising  
4           locations for response by the customer indicating his  
5           intention to order the product or service,  
6           receiving from the customer an e-mail message that  
7           includes the response,

8           based on the received e-mail, automatically  
9           generating order information in a format usable  
10          automatically by an order fulfillment system to cause the  
11          order to be filled.

1           6.    A machine-based method comprising  
2           analyzing an e-mail message to derive response  
3           information concerning a commercial transaction,  
4           automatically identifying response information which  
5           requires resolution of an issue with the source of the e-  
6           mail message, and

7           automatically managing an e-mail dialog with the  
8   source to resolve the issue.

1           7.    The method of claim 6 in which at least some of  
2   the e-mail dialog is performed automatically.

1           8.    Software guided interactive e-mail dialogs to  
2   resolve, on behalf of a vendor, customer issues that occur  
3   in direct response e-mails that are automatically identified  
4   as requiring a dialog.

1           9.    A machine-based method comprising  
2           automatically sorting e-mail messages, based on  
3   response information contained in the messages, into e-mail  
4   messages that can be processed automatically to generate  
5   commercial transactions, e-mail messages in which the  
6   response information is inadequate to permit generation of  
7   commercial transactions, and e-mail messages that may be  
8   subjected to exception handling to yield information that is  
9   sufficient to generate commercial transactions.

1           10.   A machine-based method comprising  
2           analyzing an e-mail message to derive response  
3   information concerning a commercial transaction, and  
4           automatically generating a confirmatory e-mail  
5   message to the source of the e-mail message confirming that  
6   the commercial transaction has been or will be completed.

1           11.   A machine-based method comprising  
2           receiving inbound e-mail messages that result from  
3   corresponding outbound e-mail messages associated with a  
4   marketing program, the inbound messages containing response  
5   information, each of the outbound messages being associated  
6   with a distinct piece of the marketing program, and  
7           automatically associating the response information  
8   in each of the inbound messages with the corresponding  
9   distinct piece of the marketing program.

1           12. The method of claim 11 in which the piece  
2 comprises a marketing campaign or a marketing flight.

1           13. The method of claim 11 in which the inbound  
2 messages contain information that links them to the  
3 corresponding outbound messages, and the associating step  
4 uses the link information.

1           14. The method of claim 13 further comprising  
2 automatically parsing the inbound messages for order  
3 information.

1           15. A machine-based method comprising  
2 sending outbound e-mail messages associated with  
3 commercial transactions,  
4 storing information related to each of the outbound  
5 messages in a database, the information being useful for  
6 completing the commercial transactions, the information not  
7 being contained in the outbound messages,  
8 analyzing inbound e-mail messages that result from  
9 the outbound messages and that contain response information  
10 useful in completing the commercial transactions, and  
11 automatically merging the response information with  
12 corresponding information in the database for use in  
13 completing the transactions.

1           16. A machine-based method comprising  
2 sending outbound e-mail messages associated with  
3 commercial transactions,  
4 storing information related to each of the outbound  
5 messages in a database, the information being useful for  
6 completing the commercial transactions, the information not  
7 being contained in the outbound messages,  
8 analyzing inbound e-mail messages that result from  
9 the outbound messages and that contain response information  
10 useful in completing the commercial transactions,

11           identifying inbound e-mail messages that cannot be  
12 processed automatically to generate the commercial  
13 transactions, and  
14           using the database information to assist in  
15 exception handling of the identified inbound messages.

DIRECT RESPONSE E-MAIL

Abstract of the Disclosure

An e-mail message is analyzed to derive response information concerning a commercial transaction. Based on the derived information, commercial transaction data are automatically generated in a format that is usable to automatically complete the commercial transaction.

383739.B11

**From:** Harvard Business School Publishing  
**Sent:** Wednesday, December 16, 1998 9:19 PM  
**To:** William Herp  
**Subject:** == NEW INSIGHTS from Harvard Business Review

Harvard Business School Publishing Corporation  
Boston, Massachusetts USA

Thursday, December 17, 1998


Dear William Herp,

On Thursday, December 3rd, we wrote you regarding a special offer on The Harvard Business Review Paperback Series. Since we have not heard back, we wanted to follow up before this special offer closes. If you are simply not interested, we apologize for the intrusion. Below please find the original offer in its entirety.

The Harvard Business Review Paperback Series brings you the latest and most significant thinking on today's most pressing management challenges. These insightful collections are the definitive resource for professionals.

Each title:

- provides a broad understanding of an issue
- is clearly written and, in many cases, draws upon real company examples
- helps you construct a useful conceptual framework for decision-making and implementation
- contains eight articles from Harvard Business Review

 EACH PAPERBACK is \$19.95 plus shipping and handling <>

[illegible]

**TO ORDER ONE OR MORE OF THESE PAPERBACKS**, simply reply to this message and note the letter (A-F) of the Harvard Business Review paperback you would like to receive. Please type the letters in the 1ST LINE OF THE BODY of your reply e-mail. Shipping and handling charges will be applied to each order.

**Your choices (detailed below) are:**

- A: Harvard Business Review on Change Paperback  
B: Harvard Business Review on Knowledge Management Paperback  
C: Harvard Business Review on Strategies for Growth Paperback  
D: Harvard Business Review on Measuring Corporate Performance Paperback  
E: Harvard Business Review on Leadership Paperback

**F: THE EXECUTIVE COLLECTION - ALL FIVE TITLES for \$89**

Or if you prefer, call 1-800-668-6780 (617-496-1449 outside the U.S.) Mon. - Fri. 8 a.m. - 6 p.m. EST. Please be sure to mention priority code 3202.

[illegible]

FIGURE 1A

**Provides landmark ideas to help you understand the best ways for your organization to manage change. Includes articles by John Kotter and more.**  
(240 pp/#8842/\$19.95)

Highlights the leading-edge thinking and practical applications on how companies generate, communicate, and leverage knowledge assets. Includes articles by Peter Drucker, John Seely Brown, and more.  
(240 pp/#8818/\$19.95)

**Presents the latest tactics for helping managers find and exploit the best opportunities for growth and profitability. Includes articles by Arie de Geus, Jeffrey Rayport, and more.**  
(240 pp/#8850/\$19.95)

**Offers insight on what you need to measure and how performance measures can align an organization and boost productivity. Includes articles by Peter Drucker, Robert Kaplan and David Norton, and more.**  
(240 pp/#8826/\$19.95)

**Presents proven fundamentals of leadership and challenges many long-held assumptions about the true sources of power and authority. Includes articles by John Kotter, Joseph Badaracco, Jr., and more.  
(240 pp/#8834/\$19.95)**

[illegible]

**Important Note For Our CUSTOMERS OUTSIDE THE U.S.:**  
Purchasers are responsible for all duties, taxes, brokerage fees, and/or import fees imposed by the country of import. Shipping and handling charges will be applied to your order. Delivery to Canada : \$14.00 for the first title, \$2.00 for each additional title. International Delivery outside North America: \$20.00 for the first title, \$5.00 for each additional title.

FIRST NAME: [William]  
LAST NAME: [Herp]  
TITLE: [President]  
COMPANY: [E-Care Group Inc.]  
DEPARTMENT: []  
ADDRESS1: [1646 Massachusetts Ave]  
ADDRESS2: []  
ADDRESS3: []

L 16

FIGURE 1B

CITY: [Lexington]  
PROVINCE/STATE: [MA]  
POSTAL/ZIP CODE: [2173]  
COUNTRY: []  
PHONE: [ ]  
FAX: [ ]  
EMAIL: [wherp@e-care.com]

16

[[891270||3202|]]

[[891270||3202|]]



## William Herp

---

**From:** Harvard Business School Publishing  
**Sent:** Monday, February 08, 1999 8:25 PM  
**To:** William Herp  
**Subject:** \*\* A Free No-Obligation Trial from Harvard

From the Desk of Laura Winig  
Harvard Business School Publishing Corporation  
Boston, Massachusetts

Monday, February 8, 1999

=====

~~INTRODUCING~~

\*BENCHMARKING\* a new three-part video series from  
Harvard Business School Publishing Corporation

To take \*BENCHMARKING\* for a no-obligation 14-day  
test drive, simply reply to this e-mail with the word  
"YES" in the subject line

=====

Dear William Herp:

Interested in unearthing new ideas and unconventional solutions for the challenges facing your company? Here at the publishing arm of Harvard Business School, we've created an exciting new program that can show you how some leading companies use benchmarking -- studying and emulating top performers inside, and outside, their industries -- to eliminate long-standing problems and become top performers.

Discover how new practices can be applied to your organization -- with impressive and measurable results -- in Benchmarking, an innovative three-part video series. We'll take you deep inside profiled companies such as Mobil Oil, GTE, and SunHealth to learn how they identified "best of class" companies to benchmark in order to improve their own performance.

You'll see how benchmarking can give your team a common rallying point and motivate coordinated action. You'll learn how to identify processes to benchmark, how to find the right partner, and how to initiate the first steps (even on a limited budget). You'll find out how to identify novel opportunities, how to structure your efforts for success, even proper benchmarking etiquette. Each concept is clearly explained and illustrated to facilitate implementation.

Benchmarking for Continuous Improvement, Benchmarking Core Processes, and Benchmarking Outside the Box bring you firsthand commentary from senior executives, industry experts, and front-line personnel in a fast-paced documentary style that generates interest, understanding, and enthusiasm for these important ideas. These videos will stimulate discussion and provide guidelines to help you develop an action plan for your organization.

May I send you Benchmarking for a free, no-obligation trial? Simply reply to this e-mail with the word "Yes" in the subject line and we'll send you the program to try with our compliments. We'll send you this innovative series right away. After 14 days, we will mail you an invoice for \$1190 (a savings of \$595 versus the individual video price of \$595 each).

If you are not completely satisfied with Benchmarking simply return it to us. You will owe nothing. Why wait to learn how successful change management can dramatically enhance your organization's performance?

Sincerely,

Laura Winig

FIGURE 2A

Director

P.S. If you prefer, print out this invitation, initial it at the top, (please verify your shipping address is correct as listed above -- we must have a street address for shipment) and fax it to 617-496-1029, or simply call 1-800-668-6780. Please be sure to mention priority code 3275.

=====

CONTACT INFORMATION

=====

Below please find the contact information we currently have on file. If this information is not correct, please make your edits between the appropriate brackets and return -verbatim- as part of your reply e-mail. Please indicate any address change by including the words "ADDRESS CHANGE" at the top of your order-reply.

If you wish to unsubscribe from special offer mailings, please reply to this e-mail message with the word "UNSUB" at the top of your reply.

\_\_BILLING ADDRESS\_\_

BILL FIRST NAME:	[William	]
BILL LAST NAME:	[Herp	]
BILL TITLE:	[President	]
BILL COMPANY:	[E-care Group Inc.	]
BILL DEPARTMENT:	[	]
BILL ADDRESS1:	[1646 Massachusetts Ave	]
BILL ADDRESS2:	[	]
BILL ADDRESS3:	[	]
BILL CITY:	[Lexington	]
BILL PROVINCE/STATE:	[MA	]
BILL POSTAL/ZIP CODE:	[02173	]
BILL COUNTRY:	[	]
BILL PHONE:	[	]
BILL FAX:	[	]
BILL EMAIL:	[wherp@e-care.com	]

\_\_SHIPPING ADDRESS (if different)\_\_

SHIP FIRST NAME:	[	]
SHIP LAST NAME:	[	]
SHIP TITLE:	[	]
SHIP COMPANY:	[	]
SHIP DEPARTMENT:	[	]
SHIP ADDRESS1:	[	]
SHIP ADDRESS2:	[	]
SHIP ADDRESS3:	[	]
SHIP CITY:	[	]
SHIP PROVINCE/STATE:	[	]
SHIP POSTAL/ZIP CODE:	[	]
SHIP COUNTRY:	[	]
SHIP PHONE:	[	]
SHIP FAX:	[	]
SHIP EMAIL:	[	]

18

→ [[891270|3275]] } 66

68

10

12

FIGURE 2B

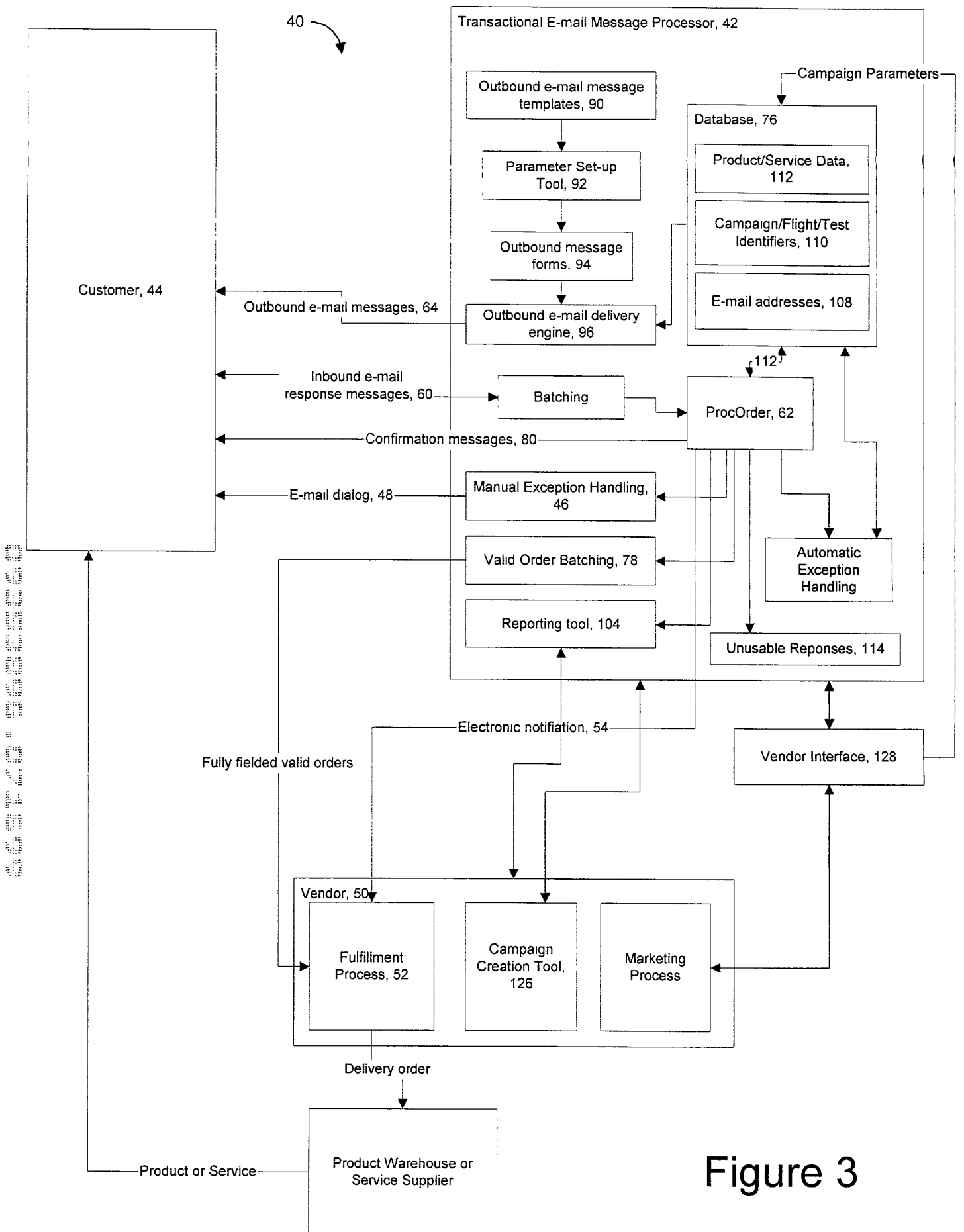


Figure 3

COMBINED DECLARATION AND POWER OF ATTORNEY

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name,

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled DIRECT RESPONSE E-MAIL, the specification of which

■ is attached hereto.

☐ was filed on \_\_\_\_\_ as Application Serial No. \_\_\_\_\_  
and was amended on \_\_\_\_\_.

☐ was described and claimed in PCT International Application No. \_\_\_\_\_  
filed on \_\_\_\_\_ and as amended under PCT Article 19 on \_\_\_\_\_.

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose all information I know to be material to patentability in accordance with Title 37, Code of Federal Regulations, §1.56.

I hereby appoint the following attorneys and/or agents to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith: David L. Feigenbaum, Esq., Reg. No. 30,378  
and Robert E. Hillman, Esq., Reg. No. 22,837.

Address all telephone calls to David L. Feigenbaum, Esq. at telephone number 617/542-5070.

Address all correspondence to David L. Feigenbaum, Esq., Fish & Richardson P.C., 225 Franklin Street, Boston, MA 02110-2804.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patents issued thereon.

Full Name of Inventor: Anthony D. Estes

Inventor's Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Residence Address: 4 Westmoreland Avenue, Arlington, MA 02174

Citizen of: U.S.A.

Post Office Address: 4 Westmoreland Aveue, Arlington, MA 01274